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6-9-03

PRI-102

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

SRIKANTH SANKARAN

Serial No.: 09/501,154

Filed: February 9, 2000

For: METHOD AND SYSTEM FOR
INTERACTIVE INITIAL
OFFERING OF MULTI-CLASS
FINANCIAL INSTRUMENTS

Art Unit: 2165

Examiner: Nguyen, Nga

REQUEST FOR CORRECTED FILING RECEIPT

Office of Initial Patent Examination
Customer Service Center
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

RECEIVED
JUN 02 2003
GROUP 3600

Sir:

A corrected Official Filing Receipt is hereby requested in view of the error that appears in the original. For the convenience of the Patent and Trademark Office, attached is a photocopy of the original receipt on which the requested correction has been noted in red.

If any fees are necessary to act upon this request, the Patent Office is authorized to charge Deposit Account No. 50-1390.

Serial No.: 09/501,154
Art Unit: 2165

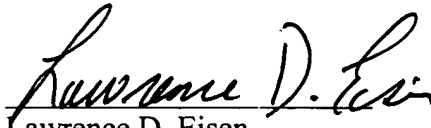
Attorney's Docket No.: PRI-102
Page 2

SHAW PITTMAN LLP
1650 Tysons Boulevard
McLean, VA 22102
Tel: 703/770-7900

Date: May 16, 2003

Respectfully submitted,

SRIKANTH SANKARAN

By: 
Lawrence D. Eisen
Registration No. 41,009

Attachment: Marked Up Copy of Filing Receipt

LDE/dkp

Document #: 1235410 v.1

FILING RECEIPT

OC000000005069436

**UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office**Address: ASSISTANT SECRETARY AND
COMMISSIONER OF PATENT AND TRADEMARKS
Washington, D.C. 20231

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|-----------------|----------|------------|------------|
| 09/501,154 | 02/09/2000 | 2768 | 591 | PRI-102 | 17 | 30 | 7 |

Lawrence D Eisen
Crowell & Moring LLP
1001 Pennsylvania Avenue NW
Washington, DC 20004-2595

Date Mailed: 04/24/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)Srikanth Sankaran, Winnetka, IL ;
Douglas T. Chorna, Delray Beach, FL
Continuing Data as Claimed by Applicant**Foreign Applications**

If Required, Foreign Filing License Granted 04/21/2000

**** SMALL ENTITY ******Title**

Method and system for interactive initial offering of multi-class financial instruments

Preliminary Class

705

Data entry by : HALL, ELMIRA

Team : OIPE

Date: 04/24/2000



Crowell & Moring LLP

APR 27 2000

Received

LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231

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Art Unit: 2165

Examiner: Nguyen, Nga

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GROUP 3600

REQUEST TO CORRECT INVENTORSHIP UNDER 37 C.F.R. § 1.48(a)

Box: Non-Fee Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

It has been determined that the stated inventorship of the above-identified application is in error. An additional inventor, namely Douglas T. Chorna, should also be considered an inventor of subject matter described and claimed in this application. Attached hereto, in accordance with 37 C.F.R. 1.48(a)(2), is a statement from Mr. Chorna indicating that the error in inventorship occurred without deceptive intent.

Also, filed herewith is a newly executed Declaration of all the inventors, as required by 37 C.F.R. §1.48(a)(3).

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Finally, a check in the amount of \$130.00 to cover the processing fee is also included, in accordance with 37 C.F.R. §1.48(a)(4). Any additional fee necessary for consideration of this Request is hereby authorized to be charged to Deposit Account Number 50-1390.

Should there be any question with regard to this Request, a representative of the Patent Office is invited to contact the undersigned.

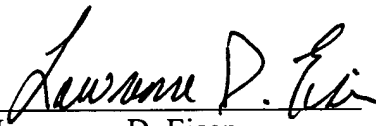
SHAW PITTMAN LLP
1650 Tysons Boulevard
McLean, VA 22102
Tel: 703/770-7693

Date: May 16, 2003

Respectfully submitted,

SRIKANTH SANKARAN

By:


Lawrence D. Eisen
Registration No. 41,009

Attachment: Statement of Douglas T. Chorna

AB/LDE/dkp



Douglas T. Chorna

15614950351

P.2

PRI-102

PATENT

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OFFERING OF MULTI-CLASS
INSTRUMENTS

Art Unit: 2165

Examiner: Nguyen, Na

STATEMENT OF INVENTOR TO BE ADDED UNDER 37 CFR 1.48(a)

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

I, Douglas T. Chorna, hereby state that there is an error in the inventorship in the above-identified application, and request that the above-identified application be appropriately amended. The omission of my name from the list of originally named inventors was an error in inventorship that occurred without deceptive intent on my part.

Respectfully submitted,

Date: 5/15/03

By: Douglas T. Chorna
Douglas T. Chorna
4794 Valencia Drive
Delray Beach, FL 33445

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